
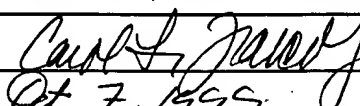


SECTOR #2


CERTIFICATE OF MAILING		
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <u>October 7, 1999</u>		
Typed or Printed Name	Mathew Otts	
Signature	 <div style="position: absolute; top: 120px; left: 540px; border: 1px solid black; border-radius: 50%; padding: 5px;"> OIP  OCT 12 1999  Date Filed  10/6/99 </div>	

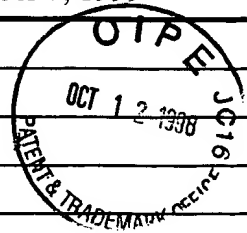
<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Attorney Docket #	AERX-012
	First Named Inventor	Gonda, et al.
	Application Number	09/330,903
	Filing Date	June 11, 1999
	Title	Methods of Delivering Aerosolized...
	Group Art Unit	1635
	Examiner Name	N/A

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers <i>(for an application)</i>	<input type="checkbox"/> Request for Refund
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Amendment/Response After Final	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition Routing Slip and Accompanying Petition	<input type="checkbox"/> Appeal Communication to Group <i>(Appeal Notice, Brief, Reply Brief)</i>
<input checked="" type="checkbox"/> Extension of Time Request	<input type="checkbox"/> To Convert a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Express Abandonment Request	<input checked="" type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Additional Enclosure(s) <i>(please identify below):</i>
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input checked="" type="checkbox"/> Small Entity Statement	<u>1) Form PTO-1533</u>
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application		<u>2) Declaration signed by inventors (in counterparts)</u>
<input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Individual Name	Carol L. Francis	Registration No.	36,513
Firm Name	BOZICEVIC, FIELD & FRANCIS LLP		
Signature			
Date	Oct 7, 1999		

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CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <u>October 7, 1999</u>			
Typed or Printed Name	Mathew Otts		
Signature		Date	October 7, 1999
<b>RESPONSE TO MISSING PARTS</b>  Address to: Box Missing Parts Assistant Commissioner for Patents Washington, D.C. 20231	Attorney Docket	AERX-021	
	First Named Inventor	Gonda, et al.	
	Application Number	09/330,903	
	Filing Date	June 11, 1999	
	Group Art Unit	1635	
	Examiner Name	N/A	
	Title	Methods of Delivering Aerosolized Polynucleotides to the Respiratory Tract	



Sir:

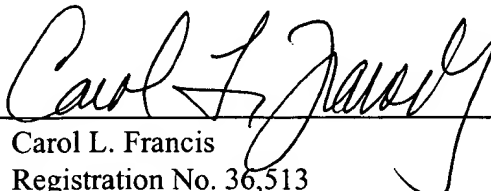
In response to the Notice to File Missing Parts dated July 7, 1999, transmitted herewith for filing are the following documents:

1. a copy of the Notice to File Missing Parts;
2. a Declaration signed by the inventors (in counterparts);
3. a Verified Statement Claiming Small Entity Status;
4. a check in the amount of \$500.00 (surcharge, \$65.00; statutory basic filing fee, \$380.00; extension of time fee, \$55.00) to cover the fees required.

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required by this paper, or to credit any overpayment, to Deposit Account No. 50-0815, order number AERX-021.

Respectfully submitted,  
BOZICEVIC, FIELD & FRANCIS LLP

Date: Oct 7, 1999

By:   
Carol L. Francis  
Registration No. 36,513

BOZICEVIC, FIELD & FRANCIS LLP  
285 Hamilton Avenue, Suite 200  
Palo Alto, California 94301  
Telephone: (650) 327-3400  
Facsimile: (650) 327-3231



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/330,903 06/11/99 GONDA

I 6513/0610US1

AERY 021

0242/0707

KARL BOZICEVIC  
BOZICEVIC FIELD & FRANCIS LLP  
285 HAMILTON AVENUE  
SUITE 200  
PALO ALTO CA 94301



NOT ASSIGNED

1635

DATE MAILED:

07/07/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of \$65.00 for a small entity in compliance with 37 CFR 1.27, or \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☐ non-small entity is \$ 870 ✓ \$445-

- ☒ 1. The statutory basic filing fee is:  
☒ missing.  
☒ insufficient.

Applicant must submit \$ 760 \$380- to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due:

\$ \_\_\_\_\_ for \_\_\_\_\_ total claims over 20.

\$ \_\_\_\_\_ for \_\_\_\_\_ independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☒ 3. The oath or declaration:

☒ is missing or unsigned.

☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

Roxanne Rawls  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

100000049 09330903  
380.00 OP  
65.00 OP  
10/14/99 CCETIN  
01 DEC 201  
02 FC 205

MAP 9/27/99  
CD 1/7/2000